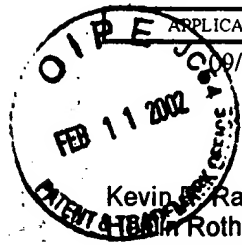




UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov



APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/977,065	10/12/2001	Jyoti K. Bhardwaj	1990004

Kevin A. Radigan
THORNTON, ROthenberg Farley & Mesiti P.C.
5 Columbia Circle
Albany, NY 12203

CONFIRMATION NO. 1790

FORMALITIES LETTER



OC00000007085723

Date Mailed: 11/19/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$786.
 - \$450 for 25 total claims over 20.
 - \$336 for 4 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1656.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

02/13/2002 NEDHAM1 00000033 0997 065
740.00 0P
450.00 0P
136.00 0P
130.00 0P
01 FC:101
02 FC:103
03 FC:102
04 FC:105



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Bhardwaj et al.

Serial No: 09/977,065

Examiner: Unknown

Filed: 10/12/01

Group Art Unit: 2817

Title: WAVEGUIDE STRESS ENGINEERING AND COMPATIBLE
PASSIVATION IN PLANAR LIGHTWAVE CIRCUITS

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231, on January 10, 2002.

Kevin P. Radigan
Kevin P. Radigan Esq.
Attorney for Applicants
Reg. No. 31,789

Date of Signature: January 10, 2002

Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

Response to Notice To File Missing
Parts Of Nonprovisional Application
Filing Date Granted

Dear Sir:

This paper is submitted in response to the Notice to File Missing Parts of Nonprovisional Application Filing Date Granted issued on November 19, 2001 in connection with the above-identified application. The deadline for responding to the Notice is January 19, 2002. Accordingly, this

Response to Notice to File Missing Parts of Nonprovisional Application is being timely filed.

In response to the Notice to File Missing Parts of Nonprovisional Application Filing Date Granted, applicants hereby submit the following:

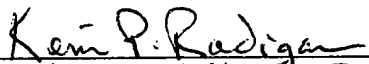
- (A) A copy of the Notice to File Missing Parts of Nonprovisional Application Filing Date Granted;
- (B) A signed Declaration pursuant to 37 C.F.R. \$1.63, which includes the application's serial number and filing date, as well as a complete identification of the inventors (6 pages);
- (C) A check in the amount of \$1656, as payment of the following fees:
 - (i) \$740 basic filing fee for a large entity;
 - (ii) \$450 for twenty-five total claims over twenty;
 - (iii) \$336 for four independent claims over three; and
 - (iii) \$130 large entity surcharge fee.
- (D) The Commissioner is hereby authorized to charge payment of the following fees, enumerated below, during the pendency of this application or credit any over payment to deposit account no. 08-1935.
 - (1) Any filing fees under 37 C.F.R. 1.16;

- (2) Any patent application processing fees
under 37 C.F.R. 1.17.

A duplicate copy of this Response to Notice to File
Missing Parts of Nonprovisional Application Filing Date
Granted is enclosed.

Any communication regarding this matter should be
directed to the undersigned.

Respectfully submitted,


Kevin P. Radigan, Esq.
Attorney for Applicants
Registration No. 31,789

Dated: January 10, 2002

HESLIN ROTHENBERG FARLEY & MESITI P.C.
5 Columbia Circle
Albany, New York 12203
Telephone: (518) 452-5600
Facsimile: (518) 452-5579